

FEB 23 2004

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: **Broekaert, Willem; Rees, Sarah, and DeSamblanx, Genova**

Application No./Patent No.: **10/006,252** Filed/Issue Date: **December 4, 2001**

Entitled: **Antifungal Proteins**

Zeneca Limited

(Name of Assignee)

a **corporation**

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: **Inventors** To: **Zeneca Limited**

The document was recorded in the United States Patent and Trademark Office at
Reel **9782**, Frame **0909**, or for which a copy thereof is attached.

2. From: **Zeneca Limited** To: **Syngenta Limited**

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1/13/04
Date

919-541-8646

Telephone number

Gregory W. Warren on behalf of

Typed or printed name

Gregory W. Warren
Signature

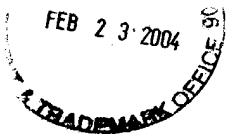
Syngenta Ltd.

Patent Agent (Reg. No. 48,385)

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



MAY 29, 1999



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

PTAS

ZENECA AG PRODUCTS
LIZA D. HOHENSCHUTZ (DCC II 2ND FL.)
1800 CONCORD PIKE
P.O. BOX 15458
WILMINGTON, DE 19850-5458



100986873A

**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/11/1999

REEL/FRAME: 9782/0909
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BROEKAERT, WILLEM FRANS

DOC DATE: 04/29/1998

ASSIGNOR:

REES, SARAH BRONWEN

DOC DATE: 06/16/1998

ASSIGNOR:

DE SAMBLANX, GENOVEVA WIVINA

DOC DATE: 05/04/1998

ASSIGNEE:

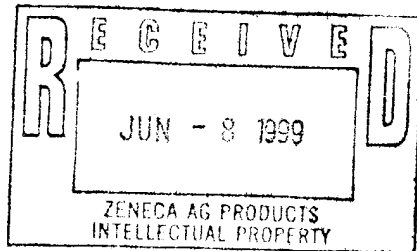
ZENECA LIMITED
15 STANHOPE GATE
LONDON W1Y 6LN, ENGLAND

SERIAL NUMBER: 09077951

PATENT NUMBER:

FILING DATE: 03/11/1999

ISSUE DATE:



9782/0909 PAGE 2

LENELL MACKALL, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

03-17-1999

FORM PT0-1595

(Rev. 6-93)

OMB No. 0651-0011 (exp. 4/94)

Docket No. PPD50093/UST



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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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UPR/FINANCE

To the Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Willem Frans BROEKAERT, Sarah Bronwen REES, and
Genoveva Wivina De SAMBLANX

3-11-99

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: 4/29/98 5/4/98, 6/16/98

2. Name and address of receiving party(ies):

ZENECA Limited
15 Stanhope Gate
London W1Y 6LN, England

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s) 09/077,951 - Filing Date 06/10/98

B. Patent No.(s) _____

Additional numbers attached?

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: ZENECA Ag Products
Internal Address: Liza D. Hohenschutz (DCC II 2nd Fl.)
Intellectual Property Counsel
Street Address: 1800 Concord Pike
P.O. Box 15458
City: Wilmington State: DE ZIP: 19850-5458

6. Total number of applications and patents involved: [1]

7. Total Fee (37 CFR 3.41):.....\$40.00

- ☐ Enclosed
☒ Authorized to be charged to deposit account
☐ No Fee

8. Deposit Account Number:

09-0013

(Attach duplicate copy of this page if paying by deposit account.)

03/16/1999 JSHABAZZ 00000032 090013 09077951

01 FC:581 40.00 CH

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document

Liza D. Hohenschutz
Name

Liza D. Hohenschutz
Signature

March 8, 1999
Date

Registration No. 33,712

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks
Box Assignment
Washington, D.C. 20231

Docket No. (Optional)
PPD 50093/UST

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE, ZENECA Limited, a company created and existing under the laws of England and Wales, having its Head Office at 15 Stanhope Gate, London, W1Y 6LN England, and the successors, assigns and legal representatives of the ASSIGNEE the entire right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: ANTIFUNGAL PROTEINS

(a) X U.S. patent application executed on even date herewith;
(b) U.S. patent application executed on _____
(c) U.S. application serial no. filed on ;
(d) X International application no. PCT/GB96/03065

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

X 4th day of may, 1998

2 Genoveva Wivina De Samblanx
Genoveva Wivina De SAMBLANX

WITNESS: * Marlene Brondino.

WITNESS: 4 Ruth Stokes

DATE: * 4th May, 1998

DATE: 4 Mar 1998

29th day of April 1998

Willem Frans BROEKAERT *Willem Frans Broekaert*

WITNESS: East Thomma

WITNESS: Bruno Cammune

DATE: 29th April 1998

DATE: 29th April 1998

16 day of June, 1998

Sarah Rees
Sarah Bronwen REES

WITNESS: R.M. Bryant

WITNESS: Chris Smith

DATE: 16 - June 1998

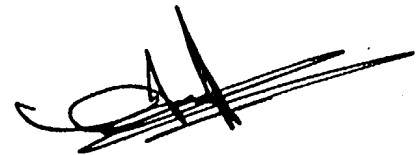
DATE: 16-june 1998

☐ Additional page(s) are attached hereto.
ZASSUS1.DOC PPD 50093/UST

TO ALL TO WHOM THESE PRESENTS shall come
I, **ANDREW MICHAEL JACKSON**, Notary Public by
Royal Authority duly admitted and sworn practising at
Guildford in the County of Surrey in the United
Kingdom of Great Britain and Northern Ireland

do hereby certify that the Power of Attorney annexed hereto has
been signed as a Deed by **NEIL DEMPSEY** a Director and
MATTHEW DAVID BAYLISS the Secretary on behalf of
SYNGENTA LIMITED a company registered in England and that
the same "N Dempsey" and "Matthew Bayliss" thereto subscribed
have been compared with specimens of the signatures of the said
Neil Dempsey and Matthew David Bayliss held by me and made in
my presence AND THAT the Deed so signed is in accordance with
the Law of England and Wales and binding on the Company

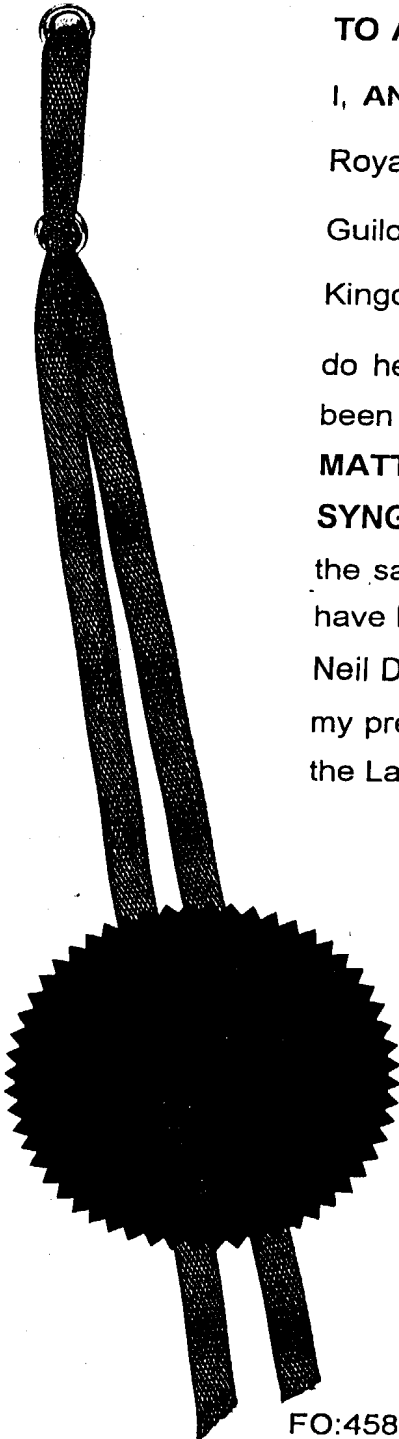
IN FAITH AND TESTIMONY
whereof I have hereunto
subscribed my name and affixed
my Seal of Office this 20th day of
November in the year of Our Lord
Two thousand and two



Notary Public
Guildford

FO:458:2:D2957

My commission expires with life



APOSTILLE
(Hague Convention of 5 October 1961 / Convention de La Haye du 5 octobre 1961)

UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND

1. Country: United Kingdom of Great Britain and Northern Ireland
Pays: Royaume-Uni de Grande-Bretagne et d'Irlande du Nord

This public document / Le présent acte public

2. Has been signed by **A M Jackson**
a été signé par
3. Acting in the capacity of **Notary Public**
agissant en qualité de
4. Bears the seal/stamp of **The Said Notary Public**
est revêtu du sceau/timbre de

5. at London/à Londres
- Certified/Attesté
6. the/le **03 December 2002**
7. by Her Majesty's Principal Secretary of State for Foreign and Commonwealth Affairs /
par le Secrétaire d'Etat Principal de Sa Majesté aux Affaires Etrangères et du Commonwealth.
8. Number/sous No **G068426**
9. Stamp:
timbre:
10. Signature: **J. M. A. Mason**



For the Secretary of State / Pour le Secrétaire d'Etat

If this document is to be used in a country which is not party to the Hague Convention of 5 October 1961, it should be presented to the consular section of the mission representing that country.

SYNGENTA LIMITED POWER OF ATTORNEY

BY THIS POWER OF ATTORNEY SYNGENTA LIMITED a Company duly organised and existing under and by virtue of the laws of England and having its registered office at Syngenta, European Regional Centre, Priestley Road, Surrey Research Park, Guildford, Surrey GU2 7YH, United Kingdom (hereinafter called "the Company")

(A) **HEREBY** nominates constitutes and appoints

<p> ALLEN Rose; AMATO Antonio; ANDREWS Christopher Dr; BASTIAN Werner Dr; BIDDLE Jennifer; BIONDINI Flavio; BLIND Valerie; BOWDICH Julie; BUTLER James Dr; CALLAGY Shelley; CERONI Jocelyne; CHANDLER Joanna; CLAUSWITZ Kai-Uwe Dr; COLLINS Jane; DAMMANN Michael; DOWLING Clare; EBINGER-ZOELD Cornelia; ELLIOTT Kathryn Dr; EMMENEGGER Alice; FEEHAN Jessica; FELIX Franz Dr; FLATTERY Marian; FRAINIER Lea; GRIMM Marie-Christine; GUERNE Patrice; GAAL Jozsef Dr; HARDY Melissa ; HAUGG Rudolf ; HAMILTON Thomas ; HAYES Laneisha ; HOFMANN Joachim ; HOHENBERGER Klaus Dr ; HOELSCHER Ingo Dr ; HOLDER Susan; HOUGHTON Malcolm; </p>	<p> HUSKISSON Frank; KAKEFUDA Mary; LEBEL Edouard Dr; LEE Michael; MORTON Marcia Dr; NOLAN James; OSBORN Martin Dr; PALMER Sarah Dr; PETERS Cassandra; ROEHRL Gerhard Dr; RICKS Michael Dr; RUDD Ann ; SCHILLER Cornelia ; SCHWARTZ Randee; SHIRLING Pamela; SITZLER-SPICHER Lilly; SOUTHERN David; SMOLDERS Walter; STEHLI VOGLER Helene; STEHLIN Astrid; STEINER Katrin; STULTS Larry Dr; SWIFT Jane; TARRY Anne; TEOLI William; TORCHIA Timothy Dr; VOEGELI-LANGE Regina Dr; VRANA Bruce; WAESPE Hans-Rudolf Dr; WARD Steven; WARREN Greg; WATERMAN Richard; WEICHSEL Christian Dr; WRIGHT Kimberly; YATES Michael; ZELLINGER James </p>
--	--

to be the true and lawful Attorneys of the Company (hereinafter referred to as "the Attorneys") for and on behalf of the Company jointly and severally to act throughout the world in the matters set out below relating to applications for Patents for Inventions (which terms shall include certificates of supplementary protection inventorship certificates and the like) (hereinafter referred to as "Patents") and to the registration of Designs, Design Rights, Utility Models, Plant Variety Rights and equivalent rights and Copyright (hereinafter referred to as "Other Intellectual Property") already filed or hereafter to be filed in the name of the Company (whether solely or jointly with one or more other parties) that is to say

- (1) to prepare and file all documents, requests and declarations for obtaining the grant of Patents and extensions of term thereof, and for obtaining and maintaining the registration of Other Intellectual Property; including power to sign and execute applications for European Patents and to sign and execute all other documents pursuant to all proceedings established by the European Patent Convention; including power to sign and execute applications under the Patent Cooperation Treaty and to sign and execute all other documents pursuant to all proceedings established by the Patent Cooperation Treaty
- (2) to apply for and obtain any certificates of registration and renewal;
- (3) to pay the lawful fees and taxes and receive all official certificates;
- (4) to recover any documents relating to any such applications as aforesaid as well as any fees and taxes that may have been paid;
- (5) to apply for copies or duplicates of any official certificates;
- (6) to appoint and instruct any Counsel, Solicitor, Patent Attorney or other professional representative or agent (whether or not an employee of the Company) to represent the Company in any and all matters relating to the application for, prosecution, maintenance, renewal, amendment, cancellation or abandonment of Patents and Other Intellectual Property belonging to the Company including the defence of oppositions or petitions for revocation or cancellation or like proceedings respecting such Patents and Other Intellectual Property belonging to other parties and to revoke and cancel all or any such appointments and instructions;

AND GENERALLY to do, sign, execute, give and accept all such deeds, documents, acts, notices, requisitions, communications and things as may be necessary for all or any of the purposes aforesaid; and

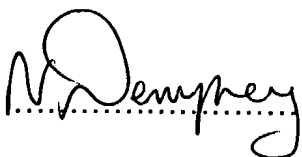
(B) **HEREBY** confirms and ratifies and, for itself and its successors and assigns, covenants to confirm and ratify whatsoever the Attorneys jointly or severally shall lawfully do or cause to be done by virtue of those presents.

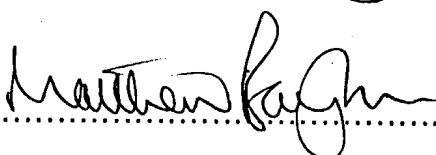
(C) **HEREBY REVOKES** the Power of Attorney dated 1st July 2002.

This Power of Attorney shall cease to have effect on 31 December 2003. The Company may revoke this Power of Attorney in respect of any individual Attorney before 31 December 2003 by giving that person notice of revocation in writing.

IN WITNESS whereof this power of attorney has been executed as a deed this
2 day of NOVEMBER 2002.

Signed as a Deed by **SYNGENTA LIMITED**

.....COMPANY DIRECTOR

.....COMPANY SECRETARY



THE COMPANIES ACT 1985

Company No. 2710846

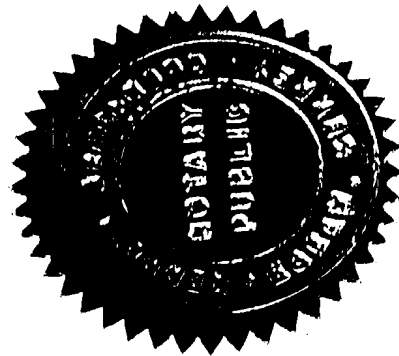
The Registrar of Companies for England and Wales hereby certifies that

SYNGENTA LIMITED (originally called HACKREMCO (NO.757) LIMITED, changed its name on 25th September 1992 to ICI Bioscience Limited, which was changed on 18th November 1992 to ZENECA LIMITED, which was changed on 21st November 2000 to SYNGENTA LIMITED, each change having been made by special resolution) was incorporated under the Companies Act 1985 as a limited company on 29th April 1992.

The Registrar further certifies that according to the documents on the file of the company, the situation of the registered office is SYNGENTA EUROPEAN REGIONAL CENTRE, PRIESTLEY ROAD, SURREY RESEARCH PARK, GUILDFORD, SURREY GU2 7YH.

EXECUTION
Certified Verified and Authenticated
In The Town Of Egham In Surrey
This 31st July 2002

KENNETH GREENWOOD
NOTARY PUBLIC
HORNE ENGALL AND FREEMAN



Given at Companies House, Cardiff the 24th June 2002

C. Llewellyn
CATHERINE LLEWELLYN

for the Registrar of Companies



Companies House